LAPT

LONDON ACADEMY OF PROFESSIONAL TRAINING

CERTIFICATE

ISO 37001BNK — Anti-Bribery Management in Finance

ISO Certification Programme

LAPT — London Academy of Professional Training

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Reference MGT-BNK-37001BNK • ISO Management & Services

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6	30	180	430	60%	Lifetime
SUBJECTS	CHAPTERS	CLASSES	TOTAL MARKS	PASS MARK	VALIDITY

AT A GLANCE

REFERENCE	**MGT-BNK-37001BNK**
AWARD	**Certificate**
ASSESSMENT	**430 marks — 258 to pass (60%)**
PREREQUISITES	**None**
VALIDITY	**Lifetime**
AWARDING BODY	**LAPT — London Academy of Professional Training**

CURRICULUM

1 Bribery Risk Assessment Techniques

5 chapters · 30 classes **85 marks**

- **1 Understanding Bribery Risks in Banking** — 6 classes
  - 1.1 Identify Key Bribery Risks in Banking
  - 1.2 Analyze Common Bribery Scenarios in Financial Institutions
  - 1.3 Assess the Impact of Bribery on Stakeholder Trust
  - 1.4 Evaluate Regulatory Requirements for Anti-Bribery Practices
  - 1.5 Develop Criteria for Bribery Risk Assessment
  - 1.6 Implement Bribery Risk Mitigation Strategies in Banking
- **2 Identifying Bribery Risk Factors** — 6 classes
  - 2.1 Analyze Common Bribery Risk Factors in Finance
  - 2.2 Assess Internal Controls to Mitigate Bribery Risks
  - 2.3 Identify High-Risk Areas for Bribery in Financial Transactions
  - 2.4 Evaluate External Influences Contributing to Bribery Risks
  - 2.5 Utilize Case Studies to Recognize Real-World Bribery Scenarios
  - 2.6 Develop a Bribery Risk Assessment Matrix for Your Organization
- **3 Tools and Techniques for Bribery Risk Assessment** — 6 classes
  - 3.1 Identify Key Bribery Risk Indicators in Financial Operations
  - 3.2 Analyze Historical Data for Patterns of Bribery and Corruption
  - 3.3 Evaluate the Impact of Regulatory Frameworks on Bribery Risk
  - 3.4 Utilize Scenario Analysis for Anticipating Bribery Risks
  - 3.5 Implement Risk Assessment Tools for Continuous Monitoring
  - 3.6 Develop a Comprehensive Bribery Risk Assessment Report
- **4 Evaluating and Prioritizing Bribery Risks** — 6 classes
  - 4.1 Identify Key Bribery Risk Factors in Finance
  - 4.2 Assess the Impact of Bribery Risks on Financial Operations
  - 4.3 Analyze Historical Data to Recognize Bribery Trends
  - 4.4 Evaluate the Probability of Bribery Occurrences in Specific Scenarios
  - 4.5 Prioritize Bribery Risks Using a Risk Matrix Approach
  - 4.6 Develop Action Plans for Mitigating High-Priority Bribery Risks
- **5 Developing and Implementing Risk Mitigation Strategies** — 6 classes
  - 5.1 Identify Key Bribery Risks in Finance
  - 5.2 Analyze Existing Controls and Their Effectiveness
  - 5.3 Develop Tailored Risk Mitigation Strategies
  - 5.4 Establish Monitoring and Reporting Mechanisms
  - 5.5 Engage Stakeholders in Risk Mitigation Plans
  - 5.6 Evaluate and Revise Strategies Based on Feedback

2 Compliance and Regulatory Frameworks

5 chapters · 30 classes **65 marks**

- **1 Understanding Compliance and Regulatory Frameworks in Banking** — 6 classes
  - 1.1 Define Key Compliance Terms in Banking
  - 1.2 Identify Regulatory Bodies Governing the Banking Sector
  - 1.3 Describe the Importance of Anti-Bribery Frameworks
  - 1.4 Analyze Compliance Risks in Financial Transactions
  - 1.5 Explore Case Studies of Regulatory Failures in Banking
  - 1.6 Develop an Action Plan for Enhancing Compliance Culture
- **2 Key Regulations Impacting the Finance Sector** — 6 classes
  - 2.1 Identify Key Regulations Impacting the Finance Sector
  - 2.2 Analyze the Role of ISO 37001BNK in Compliance
  - 2.3 Examine Anti-Bribery Laws and Their Application in Finance
  - 2.4 Assess the Consequences of Non-Compliance in the Financial Sector
  - 2.5 Develop Strategies for Effective Regulatory Compliance
  - 2.6 Implement Best Practices for Maintaining Anti-Bribery Standards
- **3 The Role of ISO Standards in Compliance Management** — 6 classes
  - 3.1 Understand ISO Standards and Their Purpose in Compliance
  - 3.2 Analyze the Key Components of ISO 37001
  - 3.3 Identify the Benefits of Implementing ISO Standards in Finance
  - 3.4 Explore Case Studies of ISO 37001 Implementation
  - 3.5 Develop a Compliance Strategy Utilizing ISO 37001
  - 3.6 Evaluate the Impact of ISO 37001 on Organizational Culture and Ethics
- **4 Developing and Implementing Compliance Policies** — 6 classes
  - 4.1 Identify Key Regulatory Requirements for Compliance Policies
  - 4.2 Analyze Risk Factors in Bribery and Corruption
  - 4.3 Develop Comprehensive Anti-Bribery Compliance Policies
  - 4.4 Implement Stakeholder Training on Compliance Policies
  - 4.5 Monitor and Evaluate Compliance Policy Effectiveness
  - 4.6 Revise Compliance Policies Based on Feedback and Audit Findings
- **5 Monitoring, Auditing, and Continuous Improvement in Compliance** — 6 classes
  - 5.1 Identify Key Components of Compliance Monitoring
  - 5.2 Implement Effective Auditing Techniques for Financial Compliance
  - 5.3 Analyze Compliance Data for Risk Assessment and Mitigation
  - 5.4 Develop Continuous Improvement Strategies in Compliance Practices
  - 5.5 Engage Stakeholders in the Compliance Monitoring Process
  - 5.6 Evaluate the Effectiveness of Compliance Management Systems

3 Designing Anti-Bribery Policies

5 chapters · 30 classes **65 marks**

- **1 Understanding Anti-Bribery Fundamentals in Banking and Finance** — 6 classes
  - 1.1 Define Key Terms in Anti-Bribery Regulations
  - 1.2 Explore the Legal Framework Surrounding Bribery in Finance
  - 1.3 Identify Common Bribery Risks in Banking Practices
  - 1.4 Analyze Case Studies of Bribery Incidents in Finance
  - 1.5 Develop Effective Anti-Bribery Policy Components
  - 1.6 Implement Monitoring Strategies for Anti-Bribery Compliance
- **2 Regulatory Frameworks and Compliance Requirements** — 6 classes
  - 2.1 Identify Key Regulatory Frameworks for Anti-Bribery
  - 2.2 Analyze Compliance Requirements for Financial Institutions
  - 2.3 Evaluate the Impact of International Anti-Bribery Laws
  - 2.4 Assess the Role of Governance in Anti-Bribery Policies
  - 2.5 Develop a Compliance Checklist for Regulatory Adherence
  - 2.6 Implement Monitoring Mechanisms for Ongoing Compliance
- **3 Conducting Risk Assessments for Bribery Vulnerabilities** — 6 classes
  - 3.1 Identify Key Bribery Risk Factors in Finance
  - 3.2 Analyze Internal Processes for Bribery Vulnerabilities
  - 3.3 Evaluate External Risks Influencing Bribery Risks
  - 3.4 Develop a Comprehensive Risk Assessment Framework
  - 3.5 Prioritize Bribery Risks for Effective Mitigation
  - 3.6 Implement Continuous Monitoring and Review Strategies
- **4 Designing Effective Anti-Bribery Policies and Procedures** — 6 classes
  - 4.1 Identify Key Elements of Anti-Bribery Policies
  - 4.2 Analyze Legal Requirements and Industry Standards
  - 4.3 Develop Risk Assessment Framework for Bribery Risks
  - 4.4 Create Clear Reporting Procedures for Suspected Bribery
  - 4.5 Implement Training Strategies for Effective Policy Communication
  - 4.6 Evaluate and Revise Anti-Bribery Policies Regularly
- **5 Implementing and Monitoring Anti-Bribery Initiatives** — 6 classes
  - 5.1 Identify Key Components of Anti-Bribery Initiatives
  - 5.2 Develop Effective Monitoring Frameworks for Compliance
  - 5.3 Establish Clear Reporting Mechanisms for Bribery Concerns
  - 5.4 Design Training Programs for Staff on Anti-Bribery Policies
  - 5.5 Evaluate the Effectiveness of Anti-Bribery Measures
  - 5.6 Create Action Plans for Continuous Improvement in Anti-Bribery Policies

4 Implementation and Monitoring

5 chapters · 30 classes **65 marks**

- **1 Understanding ISO 37001BNK Framework** — 6 classes
  - 1.1 Identify Key Principles of ISO 37001BNK Framework
  - 1.2 Explore the Importance of Leadership in Anti-Bribery Management
  - 1.3 Analyze Components of an Effective Anti-Bribery Policy
  - 1.4 Assess Risks Related to Bribery in Financial Practices
  - 1.5 Develop Monitoring Mechanisms for Compliance with ISO 37001BNK
  - 1.6 Implement Continuous Improvement Strategies for Anti-Bribery Programs
- **2 Developing an Anti-Bribery Policy** — 6 classes
  - 2.1 Analyze the Importance of an Anti-Bribery Policy in Finance
  - 2.2 Identify Key Components of an Effective Anti-Bribery Policy
  - 2.3 Evaluate Legal Requirements for Anti-Bribery Policies in the UK
  - 2.4 Develop Clear Procedures for Reporting Bribery Incidents
  - 2.5 Design a Stakeholder Engagement Strategy for Policy Implementation
  - 2.6 Create a Monitoring Framework to Assess Policy Effectiveness
- **3 Risk Assessment and Management Strategies** — 6 classes
  - 3.1 Identify Key Risks in Financial Operations
  - 3.2 Analyze the Impact of Risks on Organizational Integrity
  - 3.3 Develop Mitigation Strategies for Identified Risks
  - 3.4 Create an Effective Risk Assessment Framework
  - 3.5 Implement Monitoring Mechanisms for Risk Management
  - 3.6 Evaluate the Effectiveness of Risk Management Strategies
- **4 Implementing Training and Communication Plans** — 6 classes
  - 4.1 Define Objectives for Training and Communication Plans
  - 4.2 Identify Target Audiences for Anti-Bribery Training
  - 4.3 Develop Effective Training Content and Materials
  - 4.4 Select Appropriate Delivery Methods for Training
  - 4.5 Establish Metrics for Monitoring Training Effectiveness
  - 4.6 Create a Feedback Mechanism for Continuous Improvement
- **5 Monitoring, Reviewing, and Continuous Improvement** — 6 classes
  - 5.1 Define Key Performance Indicators for Anti-Bribery Management
  - 5.2 Implement Effective Monitoring Techniques in Financial Transactions
  - 5.3 Collect and Analyze Data on Anti-Bribery Efforts
  - 5.4 Assess Compliance Through Regular Reviews and Audits
  - 5.5 Identify Areas for Improvement Based on Monitoring Results
  - 5.6 Develop an Action Plan for Continuous Improvement in Anti-Bribery Practices

5 Leading Cultural Change

5 chapters · 30 classes **65 marks**

- **1 Understanding Cultural Dynamics in Finance** — 6 classes
  - 1.1 Define Cultural Dynamics in the Finance Sector
  - 1.2 Identify Key Components of a Positive Organizational Culture
  - 1.3 Analyze the Impact of Leadership on Cultural Change
  - 1.4 Explore Common Barriers to Cultural Change in Finance
  - 1.5 Develop Strategies for Promoting an Anti-Bribery Culture
  - 1.6 Evaluate Case Studies of Successful Cultural Change in Finance
- **2 Identifying Values and Norms in Banking Institutions** — 6 classes
  - 2.1 Explore Key Values in Banking Institutions
  - 2.2 Analyze Norms Impacting Banking Culture
  - 2.3 Identify Ethical Standards and Their Importance
  - 2.4 Assess Current Cultural Practices in Your Institution
  - 2.5 Develop a Framework for Cultural Change
  - 2.6 Implement Strategies for Upholding Values and Norms
- **3 Strategies for Promoting Ethical Leadership** — 6 classes
  - 3.1 Identify Key Principles of Ethical Leadership
  - 3.2 Assess Organisational Culture and Its Impact on Ethics
  - 3.3 Develop Strategies for Ethical Decision-Making
  - 3.4 Create Engagement Plans to Foster Ethical Behaviour
  - 3.5 Implement Training Programs for Ethical Leadership
  - 3.6 Evaluate the Effectiveness of Ethical Leadership Initiatives
- **4 Implementing Anti-Bribery Policies and Practices** — 6 classes
  - 4.1 Analyze the Current State of Anti-Bribery Practices in the Organization
  - 4.2 Identify Key Stakeholders for Effective Anti-Bribery Implementation
  - 4.3 Develop Clear Anti-Bribery Policies and Procedures
  - 4.4 Communicate Anti-Bribery Policies to Employees and Stakeholders
  - 4.5 Establish Training Programs on Anti-Bribery Awareness and Compliance
  - 4.6 Evaluate and Monitor the Effectiveness of Anti-Bribery Practices
- **5 Measuring and Sustaining Cultural Change in Finance** — 6 classes
  - 5.1 Define Key Metrics for Cultural Change in Finance
  - 5.2 Assess Current Cultural Landscape in Financial Institutions
  - 5.3 Identify Stakeholder Roles in Cultural Change Measurement
  - 5.4 Implement Surveys and Feedback Tools for Cultural Assessment
  - 5.5 Analyze Data and Interpret Results for Strategic Action
  - 5.6 Develop a Continuous Improvement Plan for Sustaining Culture Change

6 Understanding ISO 37001 Standards

5 chapters · 30 classes **85 marks**

- **1 Introduction to ISO 37001: Core Concepts and Principles** — 6 classes
  - 1.1 Define Key Terms in ISO 37001 Anti-Bribery Standards
  - 1.2 Explore the Importance of Anti-Bribery Management Systems
  - 1.3 Identify Core Principles of ISO 37001 and Their Applications
  - 1.4 Understand the Structure of the ISO 37001 Standard
  - 1.5 Assess the Impact of ISO 37001 on Financial Leadership
  - 1.6 Develop an Action Plan for Implementing ISO 37001 Principles
- **2 Bribery Risks in the Banking Sector: Understanding Vulnerabilities** — 6 classes
  - 2.1 Identify Common Bribery Risks in Banking Operations
  - 2.2 Analyze Case Studies of Bribery Incidents in Finance
  - 2.3 Evaluate Vulnerabilities in Banking Practices Contributing to Bribery
  - 2.4 Assess Internal Controls and Compliance Mechanisms Against Bribery
  - 2.5 Implement Strategies to Mitigate Bribery Risks in Finance
  - 2.6 Develop a Bribery Risk Assessment Framework for Banking Institutions
- **3 Implementing an Anti-Bribery Management System: Key Components** — 6 classes
  - 3.1 Identify Key Components of ISO 37001 Standard
  - 3.2 Analyze the Importance of Leadership Commitment in Anti-Bribery
  - 3.3 Develop Risk Assessment Strategies for Bribery Prevention
  - 3.4 Establish Effective Anti-Bribery Policies and Procedures
  - 3.5 Implement Training Programs for Anti-Bribery Awareness
  - 3.6 Evaluate and Improve the Anti-Bribery Management System
- **4 Monitoring and Review: Ensuring Effectiveness of Compliance** — 6 classes
  - 4.1 Identify Key Compliance Indicators for ISO 37001
  - 4.2 Develop a Monitoring Framework for Anti-Bribery Efforts
  - 4.3 Implement Effective Data Collection Techniques
  - 4.4 Analyze Collected Data to Assess Compliance Effectiveness
  - 4.5 Review Monitoring Processes and Identify Areas for Improvement
  - 4.6 Create an Action Plan Based on Review Findings
- **5 Embedding a Culture of Integrity: Leadership Roles and Responsibilities** — 6 classes
  - 5.1 Define the Role of Leadership in Promoting Integrity
  - 5.2 Identify Key Responsibilities of Leaders in Anti-Bribery Compliance
  - 5.3 Develop Strategies for Leaders to Foster a Culture of Ethics
  - 5.4 Analyze Case Studies of Leadership Failures and Successes in Integrity
  - 5.5 Implement Training Programs for Leaders on Ethical Decision-Making
  - 5.6 Create Action Plans for Leaders to Measure and Improve Integrity Practices